



JUN 25 2001

TECH CENTER 1600/900

10/03/2000 OMB 0651-003T

Approval for use through 10/31/2002. OMB 0651-003T

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

| | | | |
|--|----|------------------------|---------------------------|
| | | Application Number | 09/714,882 |
| | | Filing Date | Nov 16, 2000 |
| | | First Named Inventor | Turner, Jr., C. Alexander |
| | | Group Art Unit | 1645 |
| | | Examiner Name | To Be Assigned |
| Total Number of Pages in This Submission | 15 | Attorney Docket Number | LEX-0091-USA |

ENCLOSURES (check all that apply)

| | | |
|--|--|--|
| <input type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Assignment Papers (for an Application) | <input type="checkbox"/> After Allowance Communication to Group |
| <input type="checkbox"/> Fee Attached | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Amendment / Reply | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): return postcard PTO 1449 and references PCT International Search Report |
| <input type="checkbox"/> Express Abandonment Request | <input type="checkbox"/> Terminal Disclaimer | |
| <input checked="" type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> Request for Refund | |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> CD, Number of CD(s) _____ | |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application | | |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | | |
| Remarks References cited in (4) Volumes | | |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-------------------------------|--|
| Firm or Individual name | Lance K. Ishimoto Reg. No. 41,866 Lexicon Genetics Incorporated |
| Signature | |
| Date | June 19, 2001 |

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: June 19, 2001

| | |
|-----------------------|----------------|
| Typed or printed name | Michelle Klein |
| Signature | |
| Date | June 19, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | | |
|-----------------------------------|--|--------------------------|
| Applicant(s): | Turner et al. | |
| Application No.: | 09/714,882 | |
| Filed: | November 16, 2000 | Group Art Unit: 1645 |
| Title: | Novel Human Notch Ligand Proteins and Polynucleotides Encoding the Same | Examiner: To Be Assigned |
| Attorney Docket No.: LEX-0091-USA | | |

Assistant Commissioner for Patents
Washington, D.C. 20231

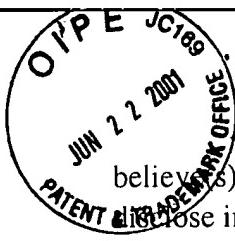
INFORMATION DISCLOSURE STATEMENT

Dear Sir:

This Information Disclosure Statement is submitted:

- under 37 CFR 1.97(b), or
 - (Within three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- under 37 CFR 1.97(c) together with either a:
 - Certification under 37 CFR 1.97(e), or
 - a \$240.00 fee under 37 CFR 1.17(p), or
 - (After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- under 37 CFR 1.97(d) together with a:
 - Certification under 37 CFR 1.97(e), and
 - a petition under 37 CFR 1.97(d)(2)(ii), and
 - a \$130.00 petition fee set forth in 37 CFR 1.17(i)(1).
 - (Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Applicant(s) submit herewith Form PTO 1449-Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s)



believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

The relevance of the attached references are that they were cited in a communication from a foreign patent office in a counterpart foreign application corresponding to the above-identified application.

Applicant submits that the above references taken alone or in combination neither anticipate nor render obvious the present invention. Consideration of the foregoing in relation to this application is respectfully requested.

It is requested that the information disclosed herein be made of record in this application.

Respectfully submitted,

6/19/01

Date

A handwritten signature in black ink, appearing to read "Lance K. Ishimoto".

Lance K. Ishimoto

Reg. No. 41,866

LEXICON GENETICS INCORPORATED
4000 Research Forest Drive
The Woodlands, TX 77381
(281) 863-3333